

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)	Attorney Docket Number	2000US01
	First Named Inventor	Harry W. Sarkas
	COMPLETE IF KNOWN	
	Application Number	10/172,848
	Filing Date	June 17, 2002
	Art Unit	
	Examiner Name	

☐ Declaration Submitted with Initial Filing
 OR
☒ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

PROCESS FOR PREPARING NANOSTRUCTURED MATERIALS OF CONTROLLED SURFACE CHEMISTRY

(Title of the Invention)

the specification of which

☐ is attached hereto

☒ **OR**
 was filed on (MM/DD/YYYY) 6/17,2002 as United States Application Number or PCT International Application Number 10/172,848 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

This collection of information is required by 37 CFR 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

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DECLARATION—Utility or Design Patent ApplicationDirect all correspondence to: ☒ Customer Number or Bar Code Label 26,689 OR ☐ Correspondence address below

Name

Address

City

State

ZIP

Country

Telephone

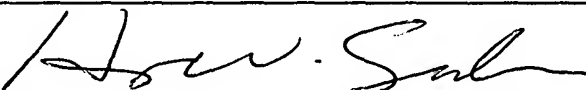
Fax

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR :☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any])
Harry W.

Family Name
or Surname
Sarkas

Inventor's
Signature

Date

6/13/03

Residence: City

1906 Spring Ridge Drive

State

IL

Country

USA

Citizenship

USA

Mailing Address

1906 Spring Ridge Drive

City

Plainfield

State

IL

ZIP

60544

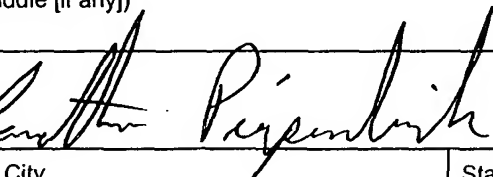
Country

USA

NAME OF SECOND INVENTOR:☐ A petition has been filed for this unsigned inventor

Given Name
(first and middle [if any])
Jonathan

Family Name
or Surname
Piepenbrink

Inventor's
Signature

Date

6/13/03

Residence: City

Crete

State

IL

Country

USA

Citizenship

USA

Mailing Address

2819 East Willowbrook Court

City

Crete

State

IL

ZIP

60417

Country

USA

☐ Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.

COPY

2000US01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:)	PROCESS FOR PREPARING
Harry W. Sarkas)	NANOSTRUCTURED MATERIALS
Jonathan Piepenbrink)	OF CONTROLLED SURFACE
)	CHEMISTRY
Serial No. 10/172,848)	
)	
Filed: June 17, 2002)	

POWER OF ATTORNEY

Assistant Commissioner for Patents
Washington, D. C. 20231

Sir:

Harry W. Sarkas and Jonathan Pieperbrink hereby appoint the following attorneys
to prosecute and transact all business in the Patent and Trademark Office connected with
the subject application:

Thomas J. Ring, Reg. No. 29,971
Mark A. Dalla Valle, Reg. No. 34,147
Timothy J. Keefer, Reg. No. 35,567
Annette M. McGarry, Reg. No. 34,671
Gary R. Gillen, Reg. No. 35,157
David A. Frey, Reg. No. 43,618
Doug S. Rupert, Reg. No. 44,434
Dennis K. Scheer, Reg. No. 39,356
Donald N. Payne, Jr., Reg. No. 45,299
Manoj Khandekar, Reg. No. 46,824

practicing at the firm of Wildman, Harrold, Allen & Dixon, 225 West Wacker Drive,
Chicago, Illinois 60606-1229.

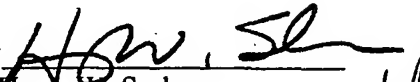
Please send all correspondence and direct telephone calls to Douglas S. Rupert,
Registration No. 44,434, Wildman, Harrold, Allen & Dixon, 225 West Wacker Drive,

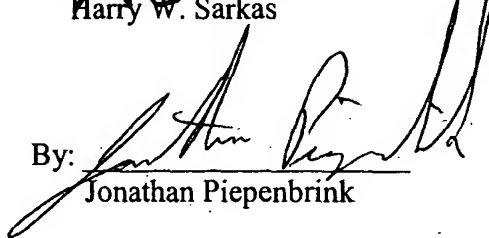
Chicago, Illinois 60606-1229, direct telephone number (312)201-2353, firm telephone number (312)201-2000, fax number (312)201-2555.

Respectfully submitted,

Date: 8/6/02

Date: 7/26/02

By: 
Harry W. Sarkas

By: 
Jonathan Piepenbrink



COPY

JANUARY 06, 2003

WILDMAN, HARROLD, ALLEN ET AL
DOUGLAS S. RUPERT
225 WEST WACKER DRIVE
CHICAGO, IL 60606

PTAS

20000501

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov



102237586A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/23/2002

REEL/FRAME: 013330/0948
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SARKAS, HARRY W

DOC DATE: 08/06/2002

ASSIGNOR:

PIEPENBRINK, JONATHAN

DOC DATE: 07/26/2002

ASSIGNEE:

NANOPHASE TECHNOLOGIES CORPORATION
1319 MARQUETTE DRIVE
ROMEDEVILLE, ILLINOIS 60446

SERIAL NUMBER: 10172848
PATENT NUMBER:

FILING DATE: 06/17/2002
ISSUE DATE:

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

1/23/02

RECOMMUNICATION FOR

10-01-2002

k Office



102237586

To the Honorable Commissioner of Patents and Trademarks

Name of conveying party(ies):

Harry W. Sanders
Jonathan PiepenbrinkAdditional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

ents or copy thereof.

of receiving party(ies):

Name:

Nanophase Technologies Corporation

Address:

1319 Marquette Drive
Romeoville, IL 60446

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Dates: July 26, 2002

August 6, 2002

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution dates of the application are:

A. Patent Application No.(s) 10/172,848

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Douglas S. Rupert
Wildman, Harrold, Allen & Dixon
225 West Wacker Drive
Chicago, IL 60606

Docket No.: 20000US01

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.4):..... \$40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Douglas S. Rupert

Name of Person Signing

Reg. No. 44,434

D. S. Rupert
Signature9/17/02

Date

OMB No. 0651-0011 (exp. 4/94)

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Mail documents to be recorded with required cover sheet information to:

Assistant Commissioner for Patents
Box Assignments
Washington, D.C. 20231

10/01/2002 TDIAZ1 00000031 10172848

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ASSIGNMENT

Serial No. 10/172,848

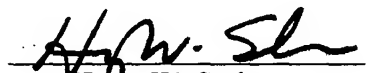
Filed: June 17, 2002

Title: PROCESS FOR PREPARING NANOSTRUCTURED MATERIALS
OF CONTROLLED SURFACE CHEMISTRY

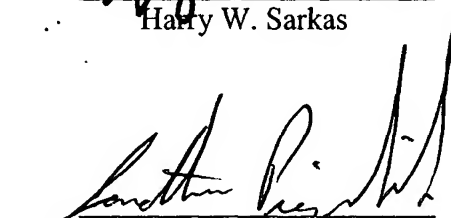
In consideration of One Dollar (\$1.00) and other good and valuable consideration in hand paid, the receipt and sufficiency whereof are hereby acknowledged, the undersigned hereby assigns to Harry W. Sarkas and Jonathan Piepenbrink, at Nanophase Technologies Corporation, 1319 Marquette Drive, Romeoville, IL 60446, its successors and assigns, the entire right, title and interest in the invention or improvements of the undersigned disclosed in said application for patent of the United States and identified by the above title in the law office of WILDMAN, HARROLD, ALLEN & DIXON and other filing particulars, and in any and all other corresponding applications or inventors certificates, including foreign, which the undersigned or the assignee may file, either solely or jointly with others, on said invention or improvements, and in any and all Letters Patent of the United States and foreign countries, which may be obtained from any of said applications, and in any reissue, division, continuation or extension of such patents or applications.

The undersigned also hereby authorizes WILDMAN, HARROLD, ALLEN & DIXON to complete this assignment with the serial number and filing date when that information is obtained prior to recording.

Executed this 6 day of August, 2002.


Harry W. Sarkas

Executed this 26 day of July, 2002


Jonathan Piepenbrink

COPY

2000US01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Sarkas et al.)
Serial No. 10/172,848)
Filed: June 17, 2002)
PROCESS FOR PREPARING
NONSTRUCTURED
MATERIALS OF CONTROLLED
SURFACE CHEMISTRY

TRANSMITTAL OF DECLARATION

Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Enclosed is an executed Declaration for the above identified patent application. The previous Declaration was missing the citizenships of the inventors. Please substitute this Declaration for the one currently on file with the U.S. Patent and Trademark Office.

The Assistant Commissioner is hereby authorized to charge any necessary fees to Deposit Account 23-2126. In the event of non-payment or improper payment of a required fee, the Assistant Commissioner is hereby authorized to charge or credit Deposit Account No. 23-2126 as required to correct the error. A duplicate copy of this letter is enclosed for fee purposes.

Respectfully submitted,

Date:

6/19/03

By:

D. H. Rupert
Douglas H. Rupert
Attorney for Applicants
Reg. No. 44,434

Wildman, Harrold, Allen & Dixon
225 West Wacker Drive
Chicago, IL 60606
Telephone: (312) 201-2000
Facsimile: (312) 201-2555

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 6-19-03

Valerie C. Rodriguez
Valerie C. Rodriguez